



Title:	OPERATIONAL ANALYSIS REPORTING GUIDANCE		
NOAA IT Standard Number (NISN):	3.011	Current Version Date:	December 5, 2007 *
Effective Date:	December 5, 2007	Expiration Date:	n/a
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* Text in RED Indicates change from previous January 31, 2007 version

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PURPOSE AND SCOPE

Operational Analysis (OA) is required for IT investments classified as “Major” by OMB Circular-11 guidelines. Generally these are IT investments that are not reporting Earned Value Management, and where some portions of work are considered steady state (SS), technology refresh, or operations and maintenance (O&M). NOAA uses Operational Analysis and performance reporting as input to future goal setting and strategies, such as the NOAA IT Strategic IT Plan.

Project Managers shall submit **annual and quarterly Operational Analysis reports. An in-depth annual report regarding the previous Fiscal Year is due in early November. Smaller, concise OA status reports are due quarterly, near the end of the month that follows 1st, 2nd, and 3rd quarters.**

LO/SOs with significant investments in NOAA’s IT Infrastructure may also provide input to a consolidated OA for NOAA IT Infrastructure.

AUTHORITY

This guidance from the NOAA OCIO, Office of Planning, Policy, and Analysis (OPPA), is mandated by Department of Commerce OCIO IT guidance as essential to IT Capital Planning and Investment Control. Reference the [DOC OCIO website](#) for [DOC IT policy](#) a, specifically reference [IT Investment Performance Measurement and Reporting](#).

INTENDED AUDIENCE

Program and Project Managers, project team members, and CIOs are the audience for OA guidance.

DESCRIPTION

Annual Operational Analyses focus on each investment's operational state as of **September 30** of the previous **fiscal** year. The analysis integrates program management and risk management, from a perspective of past performance over the most recent **fiscal** year. **Effective December 2007, DOC updated its guidance for OA, changing the annual reporting to a fiscal year cycle, instead of calendar year, and also requiring quarterly reports.**



[NOAA OA guidance](#) is on the [NOAA OCIO website](#), including a reporting template **to be used for the annual report**. The OA reports from NESDIS [SARSAT](#) or [ESPC](#), and [OAR Scientific Computing](#) programs are good OA examples. NOAA guidance is based on DOC's [Operational Analysis Guidance](#).

DEFINITIONS

Earned Value Management (EVM) – The program management practice for systems undertakings efforts for development, modernization, and enhancement. See the [NOAA OCIO website](#) for information about [NOAA's EVM guidance](#).

Steady State (SS) – The operations and maintenance phase of a system or program, the ongoing post-implementation maintenance of a system.

GUIDANCE

As stated in the above Purpose and Scope section, an OA is required for Major IT investments doing work in part or all SS. Follow these steps to be compliant with NOAA guidance regarding OA:

Step 1. **Establish the project management framework Performance Reporting**

1. Follow the Department of Commerce Operational Analysis data call and guidance, including the:
 - [IT Investment Performance Reporting Data Call](#)
 - [Operational Analysis Guidance](#)
2. Prepare your report based on best practice.
 - There is an OA report template, OA_Line-Office_Project-Name_Template.doc, issued with this guidance.
 - Using the template is highly recommended for the Annual OA.
 - **For the quarterly OA, provide a one-page summary status report. Focus on updates regarding performance and results of the four criteria below.**
 - Focus your operational analyses on performance criteria, and specifically address the following four over-arching criteria:
 - A. Financial performance
 - B. Customer results
 - C. Business and strategic results
 - D. Innovation.
 - Look at OA best practices within NOAA, e.g. NESDIS [SARSAT](#) or [ESPC](#), and [OAR Scientific Computing](#) OAs, at the website for [NOAA OA guidance](#).
3. The Line Office OCIO is responsible to establish program performance monitoring standards.
 - The LO OCIO is responsible to ensure distribution to and awareness of Project Managers.
 - The LO OCIO should develop a process for periodic and annual performance review that incorporates the Operational Analyses.

Step 2. **Reporting procedures**

1. Due dates for OA Reports
 - **Annual** OA reports are due annually to NOAA on November 7.
 - **Quarterly** OA reports are due three business days before the end of the month that follows the 1st, 2nd, and 3rd FY quarters; i.e. the end of January, April, July.
2. LO Review Procedures
 - Project Managers should submit draft OA reports to their Line Office OCIO, in advance of the due date to NOAA.

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- OA reports should be thoroughly vetted within the project, program, and Line Office before the LO CIO forwards it to NOAA.
 - For the **Annual** OA Reports, the LO CIO should include a cover letter with the submission.
 - The LO CIO cover letter should acknowledge their completion and approval of the attached OAs.
 - Cover letters may be sent electronically by email, instead of routed on paper.
3. NOAA Review Procedures
- NOAA OCIO will review submissions and forward OA reports to DOC.
 - NOAA will send the Annual OA reports on November 15, and the Quarterly OA reports on the last business day of the month that follows the 1st, 2nd, and 3rd Quarters; i.e. the end of January, April, July.

Step 3. List of NOAA Projects Required to Submit OA Reports

1. NOAA maintains the list of projects required to submit OA for the current reporting year (this FY).
 - NOAA OCIO will annually update each October the list of IT investments writing OA.
 - Line Offices please coordinate with OPPA for any changes.
2. Below is the list of Major IT Investments at NOAA, required to submit OA.
 - a. NESDIS Comprehensive Large Array-data Stewardship System (CLASS)
 - b. NESDIS Environmental Satellite Processing Center (ESPC)
 - c. NESDIS GOES Ground System
 - d. NESDIS NOAA National Data Centers (NNDC)
 - e. NESDIS POES Ground System
 - f. NESDIS Satellite Operations Control Center Command and Data Acquisition (SOCC/CDA)
 - g. NESDIS Search and Rescue Satellite-Aided Tracking (SARSAT)
 - h. **NMFS IT Infrastructure (as input to the consolidated NOAA IT Infrastructure OA)**
 - i. NOAA OCIO Financial Management IT Operations
 - j. NOAA OCIO Grants On-line
 - k. **NOAA OCIO IT Infrastructure (as input to the consolidated NOAA IT Infrastructure OA)**
 - l. NOAA OCIO Non-Core CBS Financial Management System (PCS)
 - m. NOAA OCIO R&D High Performance Computing System (HPCC)
 - n. NOS Geodetic Support System
 - o. **NOS IT Infrastructure (as input to the consolidated NOAA IT Infrastructure OA)**
 - p. NOS Nautical Charting System
 - q. NOS PORTS & NWLON
 - r. NWS Advanced Weather Interactive Processing System (AWIPS)
 - s. NWS Dissemination Systems (NDS)
 - t. NWS National Weather Service Telecommunication Gateway (NWSTG) System
 - u. NWS NDBC Ocean Observing System of Systems (NOOSS)
 - v. NWS Next Generation Weather Radar (NEXRAD) System Operations and Maintenance
 - w. NWS Office of Hydrologic Development (OHD)
 - x. NWS Regions & Field
 - y. NWS/NCEP Weather and Climate Computing Infrastructure Services (WCCIS)
 - z. NWS/NCEP Weather and Climate Operational Supercomputer Systems Primary and Backup (WCOSS)
 - aa. OAR NOAA Scientific Computing Support

Step 4. Special Instructions for IT Infrastructure

NOAA is responsible to provide an OA for NOAA IT Infrastructure, as input to the DOC Consolidated IT Infrastructure OA.



1. LO/SO responsibilities:
 - Provide a description and status in the OA for any component in the NOAA IT Infrastructure that meets any one of these criteria
 - Annual funding, during the reporting year, over \$1m in the Infrastructure Exh. 300.
 - **The component is operational and serving a Region, and/or serves a departmental or enterprise scale as a shared/reusable function.**
 - Address the same OA report elements as the other major IT investments.
 - Examples of components include, but are not limited to: WAN, LAN, desktop management, Help Desk, IT contracts, IT Security, and non-mission infrastructure.
 - Note –infrastructure and programmatic support for core missions do not belong in IT Infrastructure.
2. NOAA OCIO responsibilities:
 - Write the OA for enterprise-wide components.
 - Consolidate the IT Infrastructure OAs into a single NOAA submission.
 - Lead coordination regarding infrastructure strategies and reporting formats.

FREQUENTLY ASKED QUESTIONS (FAQS)

Q: Is there a waiver process?

A: If you feel that the performance risk is low for your particular investment, you may request a waiver. Submit your request to NOAA OCIO OPPA staff, who will review it. The NOAA OCIO OPPA may consult with DOC OCIO. Include the following in your request:

- Justify the waiver by explaining why the performance risk is low enough to allow a waiver.
- Describe how you mitigated performance risks identified in the Risk Management Plan.
- Describe any current residual risks.
- Provide a copy of your latest Risk Management Plan.